

2165/8

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PTO/SB/21 (6-98)

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TRANSMITTAL FORM (to be used for all correspondence after initial filing)		Application Number	09/440,529
		Filing Date	November 15, 1999
		First Named Inventor	Pitroda, et al.
		Group Art Unit	2165
		Examiner Name	M. Tremblay
Total Number of Pages in This Submission	22	Attorney Docket Number	2683/76979

ENCLOSURES (check all that apply)

<input checked="" type="checkbox"/> Fee Transmittal Form <input checked="" type="checkbox"/> Fee Attached <input checked="" type="checkbox"/> Amendment/Response <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s) <input checked="" type="checkbox"/> Extension of Time Request <input type="checkbox"/> Express Abandonment Request <input type="checkbox"/> Information Disclosure Statement <input type="checkbox"/> Certified Copy of Priority Document(s) <input type="checkbox"/> Response to Missing Parts/Incomplete Application <input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53	<input type="checkbox"/> Assignment Papers (for an Application) <input type="checkbox"/> Drawing(s) <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition Routing Slip (PTO/SB/69) and Accompanying Petition <input type="checkbox"/> Petition to Convert to a Provisional Application <input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Small Entity Statement <input type="checkbox"/> Request for Refund	<input type="checkbox"/> After Allowance Communication to Group <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to Group (Appeal Notices, Brief, Reply Brief) <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input checked="" type="checkbox"/> Return Receipt Postcard <input checked="" type="checkbox"/> Additional Enclosure(s) (please identify below): Amended Claims Pursuant To §1.121. (10 pages)
Remarks		

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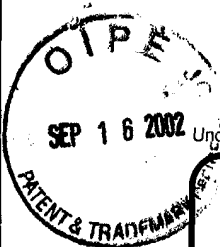
SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm or Individual Name	Walter J. Kawula, Jr., Esq. WELSH & KATZ, LTD.		
Signature			
Date	9/10/2002		

CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope Addressed to: Assistant Commissioner for Patents, Washington, DC 20231 on this date: September 10, 2002			
Typed or Printed Name	Walter J. Kawula, Jr., Esq.		
Signature		Date	September 10, 2002

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FEE TRANSMITTAL for FY 2002

Patent fees are subject to annual revision.

☒ Applicant claims small entity status. See 37 CFR 1.27

TOTAL AMOUNT OF PAYMENT

\$227.00

Complete if Known

Application Number 09/440,529

Filing Date November 15, 1999

First Named Inventor Pitroda et al.

Examiner Name M. Tremblay

Group Art Unit 2165

Attorney Docket No. 2683-76979

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METHOD OF PAYMENT (check all that apply)

☒ Check ☐ Credit card ☐ Money Order ☐ Other ☐ None

☐ Deposit Account:

Deposit
Account
Number

23-0920

Deposit
Account
Name

Welsh & Katz, Ltd.

The Commissioner is authorized to: (check all that apply)

☐ Charge fee(s) indicated below ☒ Credit any overpayments

☐ Charge any additional fee(s) during the pendency of this application

☐ Charge fee(s) indicated below, except for the filing fee
to the above identified deposit account.

FEE CALCULATION

1. BASIC FILING FEE

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
101	740	201	370	Utility filing fee	
106	330	206	165	Design filing fee	
107	510	207	255	Plant filing fee	
108	740	208	370	Reissue filing fee	
114	160	214	80	Provisional filing fee	

SUBTOTAL (1)

2. EXTRA CLAIM FEES FOR UTILITY AND

Extra Claims		Fee from below		Fee Paid
Total Claims	-20** =	3	X 9.00 =	27.00
Independent Claims	-3** =	0	X	0.00
Multiple Dependent				

Large Entity		Small Entity		Fee Description
Fee Code	Fee (\$)	Fee Code	Fee (\$)	
103	18	203	9	Claims in excess of 20
102	84	202	42	Independent claims in excess of 3
104	280	204	140	Multiple dependent claim, if not paid
109	84	209	42	** Reissue independent claims over original patent
110	18	210	9	** Reissue claims in excess of 20 and over original patent

SUBTOTAL (2)

\$27.00

**or number previously paid, if greater; For Reissues, see above

FEE CALCULATION (continued)

3. ADDITIONAL FEES

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
105	130	205	65	Surcharge - late filing fee or oath	
127	50	227	25	Surcharge - late provisional filing fee or cover sheet	
139	130	139	130	Non - English specification	
147	2,520	147	2,520	For filing a request for ex parte reexamination	
112	920*	112	920*	Requesting publication of SIR prior to Examiner action	
113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action	
115	110	215	55	Extension for reply within first month	
116	400	216	200	Extension for reply within second month	200.00
117	920	217	460	Extension for reply within third month	
118	1,440	218	720	Extension for reply within fourth month	
128	1,960	228	980	Extension for reply within fifth month	
119	320	219	160	Notice of Appeal	
120	320	220	160	Filing a brief in support of an appeal	
121	280	221	140	Request for oral hearing	
138	1,510	138	1,510	Petition to institute a public use proceeding	
140	110	240	55	Petition to revive - unavoidable	
141	1,280	241	640	Petition to revive - unintentional	
142	1,280	242	640	Utility issue fee (or reissue)	
143	460	243	230	Design issue fee	
144	620	244	310	Plant issue fee	
122	130	122	130	Petitions to the Commissioner	
123	50	123	50	Processing fee under 37 CFR § 1.17(c)	
126	180	126	180	Submission of Information Disclosure Statement	
581	40	581	40	Recording each patent assignment per property (times number of properties)	
146	740	246	370	Filing a submission after final rejection (37 CFR § 1.129(a))	
149	740	249	370	For each additional invention to be examined (37 CFR § 1.129(b))	
179	740	279	370	Request for Continued Examination (RCE)	
169	900	169	900	Request for expedited examination of a design application	

Other fee (specify)

SUBTOTAL (3)

\$200.00

SUBMITTED BY

Name (Print/Type)

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Registration No.
(Attorney/Agent)

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Signature

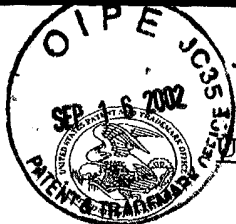
Walter J. Kawula, Jr.

Date

9/16/2002

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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
09/440,529	11/15/1999	SATYAN G. PITRODA	2683/76979	3076

7590

04/10/2002

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EXAMINER

TREMBLAY, MARK STEPHEN

ART UNIT

PAPER NUMBER

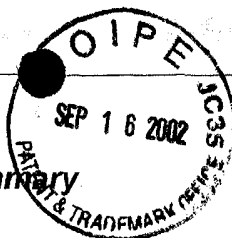
2876

DATE MAILED: 04/10/2002

Please find below and/or attached an Office communication concerning this application or proceeding.

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Office Action Summary



Application No.

09/440,529

Applicant(s)

PITRODA ET AL.

Examiner

Mark Tremblay

Art Unit

2876

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE _____ MONTH(S) FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If the period for reply specified above is less than thirty (30) days, a reply within the statutory minimum of thirty (30) days will be considered timely.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133).
- Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

Status

- 1) ☒ Responsive to communication(s) filed on 07 January 2002.
- 2a) ☐ This action is **FINAL**. 2b) ☒ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

Disposition of Claims

- 4) ☒ Claim(s) 1-39 is/are pending in the application.
- 4a) Of the above claim(s) _____ is/are withdrawn from consideration.
- 5) ☐ Claim(s) _____ is/are allowed.
- 6) ☒ Claim(s) 1-39 is/are rejected.
- 7) ☐ Claim(s) _____ is/are objected to.
- 8) ☐ Claim(s) _____ are subject to restriction and/or election requirement.

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Application Papers

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☐ The drawing(s) filed on _____ is/are: a) ☐ accepted or b) ☐ objected to by the Examiner.
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).
- 11) ☐ The proposed drawing correction filed on _____ is: a) ☐ approved b) ☐ disapproved by the Examiner.
If approved, corrected drawings are required in reply to this Office action.
- 12) ☐ The oath or declaration is objected to by the Examiner.

Priority under 35 U.S.C. §§ 119 and 120

- 13) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
a) ☐ All b) ☐ Some * c) ☐ None of:
1. ☐ Certified copies of the priority documents have been received.
2. ☐ Certified copies of the priority documents have been received in Application No. _____.
3. ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).
* See the attached detailed Office action for a list of the certified copies not received.
- 14) ☐ Acknowledgment is made of a claim for domestic priority under 35 U.S.C. § 119(e) (to a provisional application).
a) ☐ The translation of the foreign language provisional application has been received.
- 15) ☐ Acknowledgment is made of a claim for domestic priority under 35 U.S.C. §§ 120 and/or 121.

Attachment(s)

- 1) ☒ Notice of References Cited (PTO-892) 4) ☐ Interview Summary (PTO-413) Paper No(s). _____
- 2) ☐ Notice of Draftsperson's Patent Drawing Review (PTO-948) 5) ☐ Notice of Informal Patent Application (PTO-152)
- 3) ☐ Information Disclosure Statement(s) (PTO-1449) Paper No(s) _____ 6) ☐ Other:

Serial Number: 09/440,529

Paper #10, Page 2

Applicant: Pitroda et al.

Filing date: 11/15/99

Drawings

5 The drawings are objected to under 37 CFR 1.83(a). The drawings must show every feature of the invention specified in the claims. Therefore, the "entire housing" which is "reader insertable" must be shown or the feature(s) canceled from the claim(s). No new matter should be entered. Applicant has not shown any embodiment in the drawings in which the entire housing may be placed in the reader. Applicant argues that figures 1, 2, 3, and 8 show this feature. The Examiner respectfully disagrees. Figure 1 clearly shows a reader wherein parts of the card housing protrude. The entire card housing cannot be placed in the reader. Figures 2, 3, and 8 fail to show a reader.

Double Patenting

15 The nonstatutory double patenting rejection is based on a judicially created doctrine grounded in public policy (a policy reflected in the statute) so as to prevent the unjustified or improper timewise extension of the "right to exclude" granted by a patent and to prevent possible harassment by multiple assignees. See *In re Goodman*, 11 F.3d 1046, 29 USPQ2d 2010 (Fed. Cir. 1993); *In re Longi*, 759 F.2d 887, 225 USPQ 645 (Fed. Cir. 1985); *In re Van Ornum*, 686 F.2d 937, 214 USPQ 761 (CCPA 1982); *In re Vogel*, 422 F.2d 438, 164 USPQ 619 (CCPA 1970); and, *In re Thorington*, 418 F.2d 528, 163 USPQ 644 (CCPA 1969).

20 A timely filed terminal disclaimer in compliance with 37 CFR 1.321(c) may be used to overcome an actual or provisional rejection based on a nonstatutory double patenting ground provided the conflicting application or patent is shown to be commonly owned with this application. See 37 CFR 1.130(b).

25 Effective January 1, 1994, a registered attorney or agent of record may sign a terminal disclaimer. A terminal disclaimer signed by the assignee must fully comply with 37 CFR 3.73(b).

Claims 1-24 are provisionally rejected under the judicially created doctrine of obviousness-type double patenting as being unpatentable over claims 1-24 of of copending Application No. 09/587,998. Although the conflicting claims are not identical, they are not patentably distinct

from each other because the amendments expressly recite features which would have been understood from the original claims, when the latter are read in light of the specification.

Assuming, for the sake of argument, that the claims would not have been read as incorporating the newly recited limitations, Examiner alternatively finds that it would have been obvious at the time the invention was made to a person having ordinary skill in the art to adapt the receive circuit "to receive information from an electronic transaction device" because the receive circuit is certainly there to receive something, and it is clear from some of the claims that "something" is card information, and therefore it must receive it from a device, and since the device holds information relating to electronic transactions, it is therefore an electronic transaction device. It would have been obvious at the time the invention was made to a person having ordinary skill in the art to adapt the POS interface recited in claim 1 of 09/587,998 to transit the card information received from the receive circuit (and, in turn, from the electronic transaction device), because that is the purpose of the recited "adapter for use with point of sale card readers" as understood from the claim as a whole.

This is a provisional obviousness-type double patenting rejection because the conflicting claims have not in fact been patented.

Claim Rejections - 35 USC § 102/103

The basis for the rejections under this section were recited in previous Office actions.

Claims 1-12, and 18-22 are rejected under 35 U.S.C. § 102(b) as being anticipated by, or alternatively under 35 U.S.C. § 103 as being unpatentable over U.S. #5,834,756 to Gutman et al. (Gutman hereinafter), either alone or in view of the prior art effectively admitted. Gutman discloses an adapter 405 for use with point of sale card readers, the adapter comprising:

a) a housing, including at least a reader-insertable portion 400 capable of being inserted in the card reader;

b) a receive circuit 422 in the housing, the receive circuit adapted to receive information from an electronic transaction device (see abstract);

c) a processor 416 in the housing connected to the receive circuit; and

d) a point of sale interface (408) in the reader insertable portion of the housing connected to the processor, the point of sale interface adapted to transmit information received from the electronic device (e.g., reconfigured card data such as a subscription to a new financial service).

5 Gutman teaches the remote configuration of the card via the receiver 422, processor 416, and through the POS interface 408. As is clear from the passages spanning column 9, line 37 to column 10, line 38, the data received from the remote device can be the data that would ordinarily appear on the magnetic stripe of a card. See especially column 10, lines 18-28. In the applicant's specification, it is also clear that an "electronic transaction device" is an electronic device used to
10 input data remotely into the receive circuit, and as mediated by the processor, output that data onto a magnetic stripe emulator. From this, the Examiner finds that the remote device mentioned by Gutman is the same as the "electronic transaction device" claimed by Applicant.

In the event that Applicant or a third party does not agree that these are the "same", Examiner alternatively finds that Applicant has effectively admitted the "electronic transaction
15 device" such as a wireless phone or PDA as prior art in the "Background" section. It would have been obvious at the time the invention was made to a person having ordinary skill in the art to use an "electronic transaction device" such as a cell phone or PDA to input data into the Gutman device because cell phones can transmit RF data to the type of interface described by Gutman, as can a typical PDA with an IR port (mentioned by Gutman as an alternative interface), and because
20 Gutman suggests the use of a wireless remote configurer only generically, to include numerous known alternatives.

Re claims 2-3, and 19, Gutman, like Applicant, has alternatives where the housing is larger than a standard credit card, and alternatives where the circuitry can be built into a card body. See e.g. column 10, lines 39-44.

25 Re claims 4-6, 18, see figures.

Re claims 7-8 20, see figure 7.

Re claims 9, 21, see column 9, lines 54-59.

Re claims 10, 22, see column 9, lines 63-67.

Re claims 11, 18 see column 9, lines 51-53.

Claims 12-17, and 23-39 are rejected under 35 U.S.C. § 103 as being unpatentable over U.S. #5,834,756 to Gutman et al.

5 Re claimd 12, 15, and 32 Official Notice is taken that data buffers are old and well known in the art. See In Re Malcolm 1942 C.D.589:543 O.G. 440. It would have been obvious at the time the invention was made to a person having ordinary skill in the art to provide data buffers connected to the processor because the processor may be busy doing other tasks at the instant the data arrives, or is due to be output. This is a fundamental part of most computer systems.

10 Re claim 13, 16, 23, and 34 Official Notice is taken that time out circuits are old and well known in the art. See In Re Malcolm 1942 C.D.589:543 O.G. 440. It would have been obvious at the time the invention was made to a person having ordinary skill in the art to provide a time out circuit to the Gutman invention, because this would save battery power, as is well known in the art. This would function such that the data buffer would be purged (turned off, and the data erased) after a predetermined period of time.

15 Re claim 14, 17, 24, 33, 35, and 39, data is typically purged from a buffer after one data operation.

Re claims 25-39, Gutman teaches a reader that can be used to emulate a plurality of different cards. The claims recite obvious steps in view of the disclosure of the device. The recited method steps are clearly suggested by column 10, lines 45 et seq.

20 Re claim 36, see column 9, lines 54-59.

25 Claims 37-38 are rejected under 35 U.S.C. § 103 as being unpatentable over Gutman in view of U.S. Patent #5,590,038 to Pitroda (" '038 " hereinafter). Gutman teaches an adapter combination as described above, but does not teach that the adapter may send a receipt to the electronic transaction device. '038 teaches an electronic transaction device in which an electronic transaction device, e.g. a smart card, can interface with the adapter. It would have been obvious at the time the invention was made to a person having ordinary skill in the art to combine the adapter taught by Gutman with the interface to an existing Universal Transaction Card taught by '038 because the adapter taught by Gutman emulates smart cards, which typically provide receipts

to the smart card device. A receipt is a species of "confirmation" as claimed in claim 37.

Response to Arguments

While Examiner does not necessarily agree with Applicant's arguments, upon reviewing
5 alternative prior art, Examiner concluded that Gutman probably serves as a better basis for
rejection than any of the other prior art. Examiner regrets any delay caused by this switch. This
reference was located previously during the search of the prior art, tagged as important, and
saved. Examiner is unable to explain why this reference was not cited previously, other than an
inadvertent oversight or information overload. Examiner had tagged Gutman among 42 other
10 references as "important". In the interests of saving forests and minizing expenses for printing and
storage, Examiner cites only the ones considered most relevant. Examiner does not wish to
prolong prosecution, any more than Applicant.

Applicant's arguments with respect to claims 1-39 have been considered but are moot in
view of the new ground(s) of rejection.

Voice

Inquiries for the Examiner should be directed to Mark Tremblay at (703) 305-5176. The
Examiner's regular office hours are 10:30 am to 7:00 pm EST Monday to Friday. Voice mail is
20 available. If Applicant has trouble contacting the Examiner, the Supervisory Patent Examiner,
Michael Lee, can be reached on (703) 305-3503. Technical questions and comments concerning
PTO procedures may be directed to the Patent Assistance Center hotline at 1-800-786-9199 or
(703) 308-4357.


MARK TREMBLAY
PRIMARY EXAMINER

April 8, 2002



#12 B
10/4/02
amr

Date: September 10, 2002
File No.: 2683/76979

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant(s): Pitroda et al.

Group No.: 2165

Serial No.: 09/440,529

Batch No.

Filed: November 15, 1999

Examiner: M. Tremblay

For: POINT OF SALE ADAPTER FOR
ELECTRONIC TRANSACTION
DEVICE

CERTIFICATE OF MAILING

I hereby certify that this paper is being deposited with the United States Postal Service as First Class Mail in an envelope addressed to: Box Fee Amendment, Commissioner for Patents, Washington, DC 20231, on this date:

9/10/2002 *Walter J. Hayward*
Date Registration No.: 39,724
Attorney for Applicant(s)

Reply Pursuant To 37 C.F.R. §1.111

Box Fee Amendment
Assistant Commissioner For Patents
Washington, D.C. 20231

Sir:

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GROUP 3600

This is in reply to the Office Action mailed April 10, 2002 in the above referenced application. Applicants respectfully request reconsideration or further examination.

In the Claims:

1. (Twice Amended) An adapter for use with point of sale card readers, the adapter comprising:

- a) a housing, including at least a reader-insertable portion capable of being inserted in the card reader;
- b) a receive circuit in the housing, the receive circuit adapted to receive information from an electronic transaction device;